

FORM PTO-1390
(REV 10-94)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

10873.1764USWO

10/547535

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)

Unknown

INTERNATIONAL APPLICATION NO.

PCT/JP2004/002749

INTERNATIONAL FILING DATE

4 March 2004

PRIORITY DATE CLAIMED

4 March 2003

TITLE OF INVENTION

WAVEGUIDE ELEMENT USING PHOTONIC CRYSTAL (as amended)

APPLICANT(S) FOR DO/EO/US

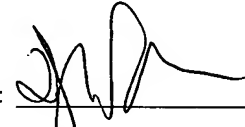
KITTAKA, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(l).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ A signed oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98, Form 1449, references.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: Application Data Sheet, Communication Regarding Requested Figure, International Publication Page, Form PCT/ISA/210, Form PCT/IB/304, Form PCT/IB/308

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.6)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
Unknown 10/547535		PCT/JP2004/002749		10873.1764USWO	
BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)):					
[X] a) Basic National fee.....				\$300.00	\$300.00
[X] b) Examination fee.....				\$200.00	\$200.00
[X] c) Search fee.....				\$500.00	\$500.00
TOTAL OF ABOVE CALCULATIONS =				\$1000.00	
Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)		Rate	
63	-100 = 0	/50 =		X \$250.00	\$0.00
Surcharge of \$130.00 for furnishing the oath or declaration later than [] 20 [] 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	19	-20 = 0	X \$50.00 \$0.00		
Independent claims	1	-3 = 0	X \$200.00 \$0.00		
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$	
TOTAL OF ABOVE CALCULATIONS =				\$1000.00	
Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed pursuant to 37 CFR 1.27				\$	
SUBTOTAL =				\$1000.00	
Processing fee of \$130.00 for furnishing the English translation later than [] 20 [] 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+	\$
TOTAL NATIONAL FEE =				\$1000.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$40.00
TOTAL FEES ENCLOSED =				\$1040.00	
				Amount to be:	
				refunded	\$
				charged	\$
a. [X] Check(s) in the amount of \$1000 and \$40 to cover the above fees is enclosed.					
b. [] Please charge the amount of \$ to cover the required filing fee for a large entity to the credit card listed on the enclosed credit card authorization form.					
c. [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-3478.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: Douglas P. Mueller Hamre, Schumann, Mueller & Larson, P.C. P.O. Box 2902-0902 Minneapolis, MN 55402					
				SIGNATURE:	
				NAME:	Douglas P. Mueller
				REGISTRATION NUMBER:	30,300

547535

UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: KITTAKA
 Attorney Docket: 10873.1764USWO
 Title: WAVEGUIDE ELEMENT USING PHOTONIC CRYSTAL

CERTIFICATE UNDER 37 CFR 1.10

Express Mail mailing label number: EV 648465415 US

Date of Deposit: August 31, 2005

I hereby certify that the papers listed below are being deposited with the United States Postal Service Express Mail Post Office to Addressee service under 37 CFR 1.10 in an envelope addressed to: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Arlington, VA 22313-1450.

By: 

Name: Yungo Maria Rattinn Wilhelm

Mail Stop PCT
 Commissioner for Patents
 P.O. Box 1450
 Alexandria, VA 22313-1450

52835

PATENT TRADEMARK OFFICE

Sir:

The following papers are transmitted herewith:

- ☒ Transmittal sheet, in duplicate, containing Certificate Under 37 CFR 1.10;
- ☒ National Stage Patent Application including: Description - 36 pages; Claims - 4 pages; Abstract - 1 page; Drawings - 22 sheets (formal);
- ☒ Signed Combined Declaration and Power of Attorney;
- ☒ Assignment of the invention to Nippon Sheet Glass Company, Limited, Recordation Form Cover Sheet, a check for \$40.00 to cover the Assignment Recording Fee.
- ☒ Application Data Sheet - 5 pages;
- ☒ Check(s) for the amount of \$1000 to cover the filing fee calculated below;
- ☒ Other: Form PTO-1390, Communication Regarding Requested Figure, Preliminary Amendment, International Publication Page, Form PCT/ISA/210, Form PCT/IB/304, Form PCT/IB/308
- ☒ Return postcard

CLAIMS AS FILED

Number of Claims Filed	No.	In Excess of	Extra	Rate	Fee
Total Claims	19	20	0	50.00	= 0.00
Independent Claims	1	3	0	200.00	= 0.00
Multiple Dependent Claims Fee					= 0.00
Basic Filing Fee					= 300.00
Search Fee					= 500.00
Examination Fee					= 200.00
Utility Application Size Fee	0	100	0	250.00	= 0.00
Total					= 1000.00

Please charge any additional fees or credit overpayment to Deposit Account No. 50-3478. A duplicate of this sheet is enclosed.

Hamre, Schumann, Mueller & Larson, P.C.
 P.O. Box 2902-0902 Minneapolis, MN 55402
 612.455-3800

By: 

Name: Douglas P. Mueller

Reg. No.: 30300

Initials: DPM/pjk

(PTO TRANSMITTAL - NEW FILING)

DTOS Rec'd PCT/PTO 31 AUG 2005

10/547535

PATENT

S/N Unknown

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	KITAKA, et al.	Examiner:	Unknown
Serial No.:	Unknown	Group Art Unit:	Unknown
Filed:	Herewith	Docket No.:	10873.1764USWO
Title:	WAVEGUIDE ELEMENT USING PHOTONIC CRYSTAL		

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By:

Name: Yuhgo Maruta Ralf von Wilhelm

COMMUNICATION REGARDING REQUESTED FIGURE

Assistant Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In connection with the above-identified application, applicant respectfully requests that Figure 9A be printed on the front page of the published application.

If a telephone conference would be helpful in resolving any issues concerning this communication, please contact Applicants' primary attorney-of record Douglas P. Mueller (Reg. No. 30,300), at (612) 455.3804.

Respectfully submitted,

HAMRE, SCHUMANN, MUELLER &
LARSON, P.C.
P.O. Box 2902-0902
Minneapolis, MN 55402-0903
(612) 455-3800

Dated: August 31, 2005

By: [Signature]
Douglas P. Mueller
Reg. No. 30,300

DPM/pjk

52835

PATENT TRADEMARK OFFICE